

## RECORDS TO BE MAINTAINED AT THE FACILITY – ADULT RESIDENTIAL

THE FOLLOWING INFORMATION, which is required under specific sections of Title 22, California Code of Regulations, MUST BE KEPT IN THE FACILITY, COMPLETE AND CURRENT, AND READILY AVAILABLE FOR REVIEW.

### I. Client Records

- A. Preplacement Appraisal Information (LIC 603)
- B. Appraisal Needs and Services Plan updated at least annually and as frequently as necessary to ensure its accuracy. (LIC 625), or equivalent Regional Center Individual Performance Plan (IPP)
- C. Physicians Report (LIC 602) Medical assessment including TB test results; ambulatory status; record of illnesses and medical care provided; evidence or periodic medical examination and care; and record of changes in physical, mental emotional and social functioning of residents. The assessment shall not be more than one year old when obtained.
- D. Current admission agreement with authorized signatures, Admission Agreement Guide (LIC 604) or equivalent placement agency admission agreement.
- E. Identification and Emergency Information (LIC 601)
- F. Record of Client's/Resident's Safeguarded Cash Resources (LIC 405), including supporting receipts of expenditures and Client/Resident Personal Property and Valuables (LIC 621), a record of each client's personal property and/or valuables entrusted to the facility.
- G. A demand trust account for each client's cash resources if not kept in the facility.
- H. Evidence of consultation from a dietitian, physician, social worker, psychologist, or any other consultation in determining if client needs can be met by facility or in modifying needs and services plan of client, when general facility program fails to meet an individual client's needs Appraisal/Needs and Services Plan (LIC 625).
- I. Centrally Stored Medications and Destruction Record (LIC 622)
- J. Unusual Incident/Injury Report (LIC 624)
- K. Death Report (LIC 624A)
- L. Register of Facility Clients/Residents (LIC 9020)
- M. Personal Rights Forms (LIC 613)
- N. Functional Capability Assessment (LIC 9172)
- O. Consent for Medical Treatment (LIC 627C)
- P. Certification from Regional Center for DD clients
- Q. Mental Health Assessment, if needed
- R. Restricted Health Condition Care Plan, if needed
- S. Telecommunications Device Notification form (LIC 9158)

### II. Personnel Records

- A. Health Screening Report - Facility Personnel (with Tuberculosis (TB) clearance) (LIC 503).
- B. TB clearance and "good health" statement from volunteer(s).
- C. Personal Record-employment application form completed by each staff member (LIC 501).

- D. Personnel Report-showing current roster (LIC 500).
- E. Criminal Record Statement for persons subject to fingerprint requirements (LIC 508) and Department of Justice Clearance Letter 'No Criminal Record' for each staff or adult residing in the facility, exemption approval, or Criminal Record Exemption Transfer Request (LIC 9188)
- F. Licensee's affidavit on persons exempt from fingerprint requirements (if not on LIC 500).
- G. Verification of education, experience, training and/or license/certificate for the administrator, staff and consultants.
- H. Verification of training in first aid for persons responsible for providing direct care and supervision.
- I. Valid water safety certificate for any adult giving water activity staffing responsibility.
- J. Documentation of employee training for each staff, including DOJ Abuse Reporting Training.
- K. Statement Acknowledging Requirement To Report Suspected Abuse Of a Dependent Adult or Elder (SOC 341A)

### **III. Administrative Records**

- A. Employment of or evidence of regular consultation from a nutritionist, dietician, or home economist if facility is licensed for 50 or more residents.
- B. Dated weekly employee time schedule posted in facilities for 16 or more residents.
- C. Documentation of actual hours worked by staff.
- D. Current and valid driver's license for each staff member transporting clients.
- E. Surety Bond, if appropriate (LIC 402).
- F. Menus for the most recent 30-day period.
- G. Posted emergency phone numbers and addresses.
- H. Emergency Disaster Plan (LIC 610D) evidence that disaster and emergency drills are conducted every six months. Documentation of the drills shall be maintained for a year.
- I. Notices of planned activities for facilities of seven or more clients, posted in a central location. Copies of such notices shall be retained for at least six months.
- J. A current written program of activities which is planned in advance and is readily available to clients and authorized representatives in facilities of 50 or more clients.
- K. Documentation of approved Exceptions and Facility Waivers: Facility Waiver Request (LIC 956) and Exception/Exemption Request (LIC 971)
- L. For facilities licensed for seven or more clients, posted facility license (LIC 203).
- M. Provider/Licensee Rights, Appeals Procedure (LIC 9058).
- N. Designation of Facility Responsibility (LIC 308), if applicable
- O. Affidavit Regarding Client/Resident Cash Resources
- P. Accounting Record for Change of Licensee, if applicable

(PLEASE KEEP THIS NOTICE IN YOUR OFFICE FOR YOUR REFERENCE)

## **ADULT FACILITIES - FORM NUMBER AND TITLE.**

Licensing forms in English or Spanish may be accessed at <http://www.cclid.ca.gov>

(\*Available in Spanish)

LIC 203	Facility License
*LIC 308	Designation of Administrative Responsibility
*LIC 309	Administrative Organization
*LIC 400	Affidavit Regarding Client/Resident Cash Resources
LIC 402	Surety Bond, if appropriate
LIC 405	Record of Client's/Resident's Safeguarded Cash Resources
LIC 424	Accounting Record for Change of Licensee
*LIC 500	Personnel Report
*LIC 501	Personnel Record
*LIC 503	Health Screening Report - Facility Personnel
*LIC 508	Criminal Record Statement
*LIC 601	Identification and Emergency Information
LIC 602	Physician's Report For Community Care Facilities
LIC 603	Pre-placement Appraisal Information
LIC 604	Admission Agreement Guide-Residential Facilities
LIC 605A	Release of Client/Resident Medical Information
*LIC 610D	Emergency Disaster Plan
*LIC 613	Personal Rights
*LIC 621	Client/Resident Personal Property and Valuables
*LIC 622	Centrally Stored Medication and Destruction Record
*LIC 624	Unusual Incident/Injury Report
LIC 624A	Death Report
*LIC 625	Appraisal/Needs and Services Plan
LIC 627C	Consent for Emergency Medical Treatment
LIC 9020	Register of Facility Clients/Residents
LIC 9058	Applicant/Licensee Rights & Appeal Rights
LIC 9158	Telecommunications Device Notification Form
LIC 9163	Live Scan Application
LIC 9172	Functional Capability Assessment
LIC 9194	Live Scan Instructions (For State Licensed Facilities)
SOC 341A	Statement Acknowledging Requirement to Report Suspected Abuse of a Dependent Adult or Elder